



**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/430,412	10/29/99	ALBERT	P 2268UO-1

0262/1130

NOT ASSIGNED

JOSEPH E KOVARIK  
SHERIDAN ROSS PC  
1560 BROADWAY  
STE 1200  
DENVER CO 80202-5141

1643

DATE MAILED: 11/30/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ~~\$65.00~~ **\$65.00** for a small entity in compliance with 37 CFR 1.27, or ☐ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

*If all required items on this form are filed within the period set above, the total amount owed by applicant as a*  
☒ **small entity (statement filed)** ☐ **non-small entity is \$** 445

- ☐ 1. The statutory basic filing fee is:  
☐ missing.  
☐ insufficient.  
Applicant must submit \$ 380 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☐ 2. The following additional claims fees are due:  
\$ \_\_\_\_\_ for \_\_\_\_\_ total claims over 20.  
\$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.  
\$ \_\_\_\_\_ for multiple dependent claim surcharge.  
Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☒ 3. The oath or declaration:  
☒ **is missing or unsigned.**  
☐ does not cover the newly submitted items.  
An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).  
☐ 7. Your filing receipt was mailed in error because your check was returned without payment.  
☐ 8. The application was filed in a language other than English.  
Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

- ☐ 9. OTHER: \_\_\_\_\_

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

ALBERT et al.

Serial No.: 09/430,412

Filed: October 29, 1999

Atty. File No.: 2268UO-1

For: "MUTATIONS OF THE 5' REGION  
OF THE HUMAN 5-HT1A GENE,  
ASSOCIATED PROTEINS OF THE 5'  
REGION AND A DIAGNOSTIC  
TEST FOR MAJOR DEPRESSION  
AND RELATED MENTAL  
ILLNESSES"



Group Art Unit:

Examiner:

REQUEST FOR EXTENSION  
OF TIME

CERTIFICATE OF MAILING

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING  
DEPOSITED WITH THE UNITED STATES POSTAL SERVICE  
AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO  
COMMISSIONER OF PATENTS AND TRADEMARKS,  
WASHINGTON, DC 20231 ON March 7, 2000.

SHERIDAN ROSS P.C.

BY:

A handwritten signature in cursive script, appearing to read "Sheridan Ross", written over a horizontal line.

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Applicants, through their attorneys, respectfully petition for an extension of time under 37 CFR § 1.136(a) of two (2) months to respond to the Notice of Missing Parts mailed on November 30, 1999, with respect to the above-identified application, thereby extending the period for response from January 30, 2000, to March 30, 2000.

Enclosed is a check in the amount of \$190.00 as payment for the extension fee. Please credit any overpayment or debit any underpayment to Deposit Account No. 19-1970.

Respectfully submitted,

SHERIDAN ROSS P.C.

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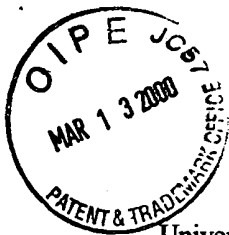
By:

A handwritten signature in cursive script, appearing to read "Bradley M. Knepper", written over a horizontal line.

Bradley M. Knepper  
Registration No. 44,189  
1560 Broadway, Suite 1200  
Denver, Colorado 80202-5141  
(303) 863-9700

Date:

March 7, 2000



VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(d)) - NON-PROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the non-profit organization University of Ottawa located at 550 Cumberland Avenue, Tabaret Hall, Ottawa, Ontario, Canada K1N 6N5 which is a University or other institution of higher education.

I hereby declare that the non-profit organization identified above qualifies as a non-profit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled "MUTATIONS OF THE 5' REGION OF THE HUMAN 5-HT1A GENE, ASSOCIATED PROTEINS OF THE 5' REGION AND A DIAGNOSTIC TEST FOR MAJOR DEPRESSION AND RELATED MENTAL ILLNESSES" and identified as Attorney File No. 2268UO-1, described in application Serial No. 09/430,412, filed on October 29, 1999.

I hereby declare that rights under contract or law have been conveyed to and remain with the non-profit organization with regard to the above-identified invention.

If the rights held by the non-profit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a non-profit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NON-PROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Date: 24 Feb 2000

By: Jean Farrall

JEAN FARRALL

Print Name: \_\_\_\_\_

Director

Title: \_\_\_\_\_

Research Services

University of Ottawa

University of Ottawa

550 Cumberland Avenue, Tabaret Hall Room 160

Ottawa, Ontario, Canada K1N 6N5